

U.S. Department of Education
Office of Postsecondary Education
Washington, D.C. 20202-5335



APPLICATION FOR GRANTS UNDER THE

STRENGTHENING INSTITUTIONS PROGRAM
CFDA # 84.031A

AMERICAN INDIAN TRIBALLY CONTROLLED
COLLEGES AND UNIVERSITIES PROGRAM
CFDA # 84.031T

ALASKA NATIVE-SERVING INSTITUTIONS
PROGRAM
CFDA # 84.031N

AND THE

NATIVE HAWAIIAN-SERVING INSTITUTIONS
PROGRAM
CFDA # 84.031W

FORM APPROVED ED FORM 851A, ED-524
OMB NO. 1840-0114, Expiration Date: 3/31/2003

Closing Date: March 5, 2003
DATED MATERIAL-OPEN IMMEDIATELY

January, 2003

Dear Applicant:

We are pleased to provide this application booklet for institutions of higher education that intend to apply for Fiscal Year (FY) 2003 grants under the Strengthening Institutions Program (SIP), the American Indian Tribally Controlled Colleges and Universities Program (TCCU), and the Alaska Native and Native Hawaiian-Serving Institutions Program (ANNH). Title III, Part A of the Higher Education Act of 1965, as amended, authorizes these programs. They provide funds to eligible institutions of higher education so that they might increase their self-sufficiency by improving academic programs, institutional management, and fiscal stability.

You may apply for either a one-year planning grant or a five-year development grant under the Title III, Part A Programs. If applying for a five-year development grant, you may submit an application as an individual institution and another application as part of a cooperative arrangement. We may fund your institution simultaneously under both.

In order to receive a grant under Title III, Part A, an institution of higher education must have applied for "designation as an eligible institution" and we must have designated the institution as eligible. The Notice Inviting Applications for Designation as Eligible Institutions appeared in the Federal Register on October 31, 2002. You have until January 31, 2003 to apply for eligibility. The Notice Inviting Applications for the SIP, TCCU and the ANNH Programs is printed in this booklet.

If your institution meets the specific eligibility requirements for more than one of the Title III, Part A Programs, you may submit an application for a five-year development grant under multiple programs. However, we will award only one five-year development grant to the institution.

If you plan to apply for a five-year development grant under the TCCU Program or the ANNH Program, please review carefully the additional eligibility and application requirements found in Sections 316 and 317 of the program statute located in this booklet.

You may apply for a planning or a five-year development grant *electronically*. If you plan to submit an application electronically, follow the instructions within this booklet on electronic submission.

Dear Applicant – Page 2

The selection criteria used in judging the quality of each application serve as an excellent guide. You will find these criteria in the program regulations and in the instructions contained in this booklet (See 34 CFR part 607, §607.21 for planning grants and §607.22 for five-year development grants).

If applying for a five-year development grant, you must provide detailed budget information for all five years. We will determine the funding level for each of the five years of the grant at the time of the initial award. However, funding for years two through five will be contingent on Congress appropriating sufficient program funds and on grantees showing substantial progress.

Please note that the standard assurances and certifications are not part of this application package. Applicants recommended for awards will be provided with a packet of assurances and certifications that must be completed prior to receipt of the award.

I urge you to carefully read all the information contained in this booklet before preparing your application.

If you have questions, please contact the program staff listed on the final page of this booklet.

Sincerely,

Wilbert Bryant
Deputy Assistant Secretary
for Higher Education Programs

:

**** TABLE OF CONTENTS ****

Dear Applicant Letter.....	i-ii
General Information	3
General Instructions.....	7
Planning Grant Application Instructions	11
Development Grant Application Instructions	15
Cooperative Arrangement Development Grant Application Additional Instructions.....	27
Notice Inviting New Awards	Appendix I
Program Statute.....	Appendix II
Program Regulations	Appendix III
Revised Program Regulations.....	Appendix IV
Endowment Investing-Up to 20% of Funds.....	Appendix V
Instructions and Application for Federal Education Assistance Form (ED 424).....	Appendix VI
Dual Submission Certification Form.....	Appendix VII
Instructions and Cooperative Arrangement Participating Institutions Form (ED 851A-1).....	Appendix VIII
Instructions and Activity Objectives and Performance Indicators Form (ED 851A-2)	Appendix IX
Instructions and Implementation Strategy and Timetable Form (ED 851A-3).....	Appendix X
Instructions and Activity Budget Form (ED851A-4).....	Appendix XI
Instructions and Other Budget Information Form for Activity Budgets (ED851A-5).....	Appendix XII

Instructions and Summary Budget Form (ED 524)	Appendix XIII
Instructions and Other Budget Information Form for Summary Budget (ED 851A-5).....	Appendix XIV
Certification for Alaska Native Serving Institutions (ED851A-7).....	Appendix XV
Certification for Native Hawaiian-Serving Institutions (ED851A-8).....	Appendix XVI
Intergovernmental Review Procedures	Appendix XVII
State Single Points of Contact.....	Appendix XVIII
General Education Provisions Act.....	Appendix XIX
Instructions For Transmitting Applications	Appendix XX
Parity Guidelines Between Paper and Electronic Applications.....	Appendix XXI
Survey on Ensuring Equal Opportunity for Applicants	Appendix XXII
Staff Listing	Appendix XXIII
Grants Application Receipt Acknowledgment	Inside Back Cover
Education Bulletin Board Information.....	Inside Back Cover

GENERAL INFORMATION

What programs are available for higher education institutions like mine?

One of the following programs may be available for your institution: the Strengthening Institutions Program, the American Indian Tribally Controlled Colleges and Universities Program, the Alaska Native-Serving Institutions Program and the Native Hawaiian-Serving Institutions Program. All are authorized under Title III, Part A of the Higher Education Act of 1965, as amended (HEA). Their purpose is to provide funds that help institutions increase their self-sufficiency by improving their academic quality, management processes or fiscal stability. A copy of Title III Part A of the HEA is located in Appendix II of this booklet.

How can my institution be designated as eligible to receive one of these grants?

The process for becoming designated as an eligible institution is separate from the process of applying for a grant. Your institution may apply for a grant award under Title III, Part A only if you are eligible under Title III of the HEA, as defined by the program regulations, 34 CFR Part 607, sections 607.2 - 607.5 located in Appendix III of this booklet. We announced earlier information about the eligibility process and deadline for Fiscal Year (FY) 2003 Title III, Part A in the **Federal Register**. Check the Title III Part A web site under the "eligibility 2003" link:

<http://www.ed.gov/offices/OPE/HEP/idades/title3a>

What types of grants are available in this program?

You may receive an individual planning grant or a development grant. Here are some important points to note:

- You may submit only one application for an individual development grant under Title III, Part A. The exception is if you are a Tribally Controlled College or University or an Alaska Native-Serving **or** Native Hawaiian-Serving Institution. In this case, you may submit one development grant application under the Strengthening Institutions Program and one under the population-specific program. However, you may only receive a grant under the Strengthening Institutions Program **or** one of the population-specific Programs.
- You may apply for, and simultaneously receive, both an **individual** development grant and a **cooperative arrangement** development grant where you carry out the project with one or more institutions of higher education. You may not apply as part of more than one cooperative arrangement.

What is the difference between a Planning Grant and a Development Grant?

Planning Grant

You may use these funds for one two-fold purpose, which is to:

- Formulate a Comprehensive Development Plan (CDP), including identifying and analyzing the institution's major problems; and,
- Prepare the five-year development grant project.

Receiving a Planning Grant does not guarantee that you will subsequently receive a development grant. In addition, you do not need to apply for a planning grant before applying for a development grant.

Time frame: Your institution may apply for one, one-year planning grant.

Individual Development Grant

A development grant helps you attack and, perhaps, resolve a problem(s) you identify in the CDP and helps you strengthen your organization's academic quality, management capabilities, or fiscal stability. You may choose to carry out one or more of a wide variety of activities which are listed in the HEA, located in Appendix II, and include:

- Creating faculty development programs;
- Improving funds and administrative management processes;
- Developing and improving academic programs;
- Acquiring equipment that strengthens your ability to manage funds;
- Acquiring equipment that helps you strengthen academic programs;
- Providing student services;
- Jointly using facilities, such as libraries and laboratories; and
- Developing other activities that will promote growth and self-sufficiency.

Many grantees in the past have chosen to carry out one activity. But, if you choose several activities, they may be unrelated, may begin and end at different dates, and have a different duration.

As part of developing the CDP and the grant award application, we presume that your institution has analyzed the major problems affecting it, and designed specific strategies to attack and possibly resolve these problems. You should be ready to carry out the proposed project once you receive the grant and should not use the funds for intensive planning activities.

For a thorough understanding of the wide variety of types of activities and costs allowed under a grant, review the program regulations in 34 CFR 607.10 and 607.30, located in Appendix III and IV.

Time frame: You may receive a development grant for a period of five years.

Is there a Wait-Out Period between Individual Development Grants?

If you previously received a five-year **individual** development grant under the Strengthening Institutions Program, you must wait for two years after the date the five-year grant ended to receive an additional Strengthening Institutions Program **individual** development grant. The wait-out period, however, does not pertain to eligible applicants under the population-specific programs.

Endowment Funds

May we allocate any of the grant funds for endowment investing?

If a Strengthening Institution or Tribal College grantee, you may invest up to 20% of the development grant to establish or increase your endowment. If an Alaskan Native- Serving or Native Hawaiian-Serving grantee, **you may not** use grant funds for endowment investing.

Will we need to match and invest the endowment funds?

Of the 20 percent of a development grant award that you may allocate to your endowment, you must:

- provide matching funds from non-Federal sources of at least one dollar for every dollar of grant funds before you draw down grant funds, and
- invest both the grant and matching funds for 20 years. During that period, you may spend up to 50% of the cumulative income (appreciation, interest and dividends) earned on the investment. At the end of the 20 years, you may spend both the principal and the income.

What happens if the selection process ends in a tie?

The program regulations provide a tie-breaker mechanism that the Department may use to determine who will receive a grant if two or more institutions have the same score and funds are insufficient to fund all of them. We award up to three points to applicants who demonstrate that they:

- (1) have an endowment fund where the market value, per full-time equivalent (FTE) student, is less than average market value, per FTE student, at similar institutions;
- (2) have expenditures for library materials, per FTE student, which are less than the average expenditures, per FTE student, at similar institutions; and
- (3) will carry out one or more of the activities listed in 34 CFR 607.23(b)(3)(i)-(vi).

If a tie still remains after applying these criteria, we give the highest rank to institutions whose combined library expenditures and endowment values for each

full time student are lowest. Be sure to complete the second page of the Application for Federal Educational Assistance Form (ED 424) which requires information about these criteria.

Are we required to submit performance reports?

If you receive a grant, you must submit a final performance report within 90 days of the end of the project period.

- For a planning grant, you must outline how much of your planning process you implemented and the benefits of that process.
- For a development grant, you must discuss how many of your development activities objectives you reached, and their impact on your institution's growth and self-sufficiency. In addition, you must state how many of these activities you embedded into your regular program.

To ensure that you have a quality final report, you must establish measurable objectives in your grant application including the projected outcome of each activity. Your application should also include an evaluation plan that will help you compare “what was” to “what is”; document performance outcomes; and assess the impact of the project on your institution's development.

If you receive a development grant award, you must also submit an annual progress report where you must demonstrate substantial progress by updating us about your progress in meeting the project goals and your success in keeping to the time frame you established in the grant application.

GENERAL INSTRUCTIONS

What is the first step I should take to apply for a grant?

Start by reading all the materials in this application booklet pertinent to the type of project you are applying for, including the appendices.

What is the format for the narrative?

When writing the narrative section of your application, be sure to do the following:

- Type all narratives in font size 12, double-spaced (except for the project abstract) on plain, white or off-white, bond paper.
- Leave the back of pages blank.
- Type the name of your institution and the state where it is located at the top of each page. *E.g.*, "Cedar University, PA."
- Number the pages consecutively, with the Application for Federal Education Assistance Form (ED 424) - being labeled, "page 1." ED 424 will serve as the cover page for the application.
- Submit your application in a spiral or other bound format that will ensure that the application stays intact, and that no pages are lost during the review processes. **DO NOT SUBMIT YOUR APPLICATION IN A 3-RING BINDER.**
- All text in the application narrative must be double-spaced, including titles and headings. You may single space within the application for the abstract, footnotes, quotations, references, forms and tables.

Do we need to complete all the required forms?

At the time of submission you will only need to include the following forms:

- ✓ Application for Federal Education Assistance Form (ED Form 424)
- ✓ Cooperative Arrangement Participating Institutions Form (ED Form 851A-1), if applicable.
- ✓ Activity Objectives and Performance Indicators Form (ED Form 851A-2)
- ✓ Implementation Strategy and Timetable Form (ED Form 851A-3)
- ✓ Activity Budget Forms (ED Form 851-4)
- ✓ Other Budget Information Forms for Activity Budgets (ED Form 851A-5)
- ✓ Summary Budget Form (ED Form 524)
- ✓ Other Budget Information Forms for Summary Budget (ED Form 851A-5)
- ✓ Certification for Alaska Native-Serving Institutions (ED 851A-7), if applicable
- ✓ Certification for Native Hawaiian-Serving Institutions (ED 851A-8), if applicable
- ✓ General Education Provisions Act (GEPA) Requirement

Read the instructions on each form carefully and be sure to provide all the requested information. Feel free to duplicate copies of any forms in this booklet or construct the form yourself on your computer. If you do not provide sufficient information, we cannot consider your application.

Will my state government need to review my application?

For an answer, go to Appendix XVII and review the fact that the Strengthening Institutions Program and the Alaska Native and Native Hawaiian-Serving Institutions Program are subject to Executive Order 12372, Intergovernmental Review of Federal Programs. Also see the State Single Point of Contact for intergovernmental review in Appendix XVIII.

- If your State is not listed, it does not require intergovernmental review, and you do not have to take further steps.
- If your State is listed, contact the person identified by your state to learn what procedure you must follow for getting the state to review your application.
- If your institution is a tribally controlled college or university -- regardless of whether you are applying for a grant under the Strengthening Institutions Program or the American Indian Tribally Controlled Colleges and Universities Program -- you are not subject to intergovernmental review, and need not contact the State.

What is the paperwork burden statement and how does it affect my application?

According to the Paperwork Reduction Act of 1995, you are not required to respond to a collection of information unless the application displays a valid OMB control number that, in this case, is 1840-0114. You will need an average of 40 hours for each response for the planning grant application, and 80 hours for each response for the development grant applications. This includes the time you need to review instructions, search existing data resources, gather data, and complete and review the information.

If you have comments or concerns regarding the accuracy of the time estimate (s) or suggestions for improving this form, please write to:

U.S. Department of Education
Washington, D.C. 20202-4651

If you have comments regarding the status of your individual submission of this form, write directly to:

Institutional Development and Undergraduate Education Service
Office of Postsecondary Education
U.S. Department of Education
1990 K Street, NW, 6th Floor
Washington, D.C. 20006-8513.

Is there a summary checklist that lays out what my application should include?

The following contains a checklist of materials you must include, depending on the grant you want.

Planning grant under the Strengthening Institutions Program, the American Indian Tribally Controlled Colleges and Universities Program, the Alaska Native-Serving Program and the Native Hawaiian-Serving Institutions Program

1. Application for Federal Education Assistance Form (ED 424)
2. Table of Contents
3. Institutional Narrative
4. Planning Process Narrative, including Implementation Strategy and Timetable Form (ED 851A-3)
5. Key Personnel
6. Project Management Plan
7. Summary Budget Form (ED 524)
8. Other Budget Information Form (ED 851A-5)
9. Assurances and Certification forms

Development grant under the Strengthening Institutions Program, the American Indian Tribally Controlled Colleges and Universities Program, the Alaska Native-Serving Program, and the Native Hawaiian-Serving Institutions Program

1. Application for Federal Education Assistance Form (ED 424)
2. Project Abstract
3. Table of Contents
4. Institutional Narrative
5. Comprehensive Development Plan Narrative, including:
 - Analysis of strengths, weaknesses and significant Problems and Description of the Analysis Process;
 - Your key, Overall Goals for the Institution;
 - Measurable Objectives for the Institution;
 - Institutionalizing Practices and Improvements; and
 - Brief Description of Prior Title III Support and Ranking of Proposed Activities
6. Proposed Activity Number 1 Narrative including:
 - Objectives and Performance Indicators Form (ED 851A-2)
 - Narrative Describing Objectives Related to CDP Problem(s)
 - Implementation Strategy and Timetable Form (ED 851A-3)
 - Narrative Of Rationale for Chosen Implementation Strategy
 - Position Descriptions/Resumes of Key Personnel
 - Activity Budget Form (ED 851A-4)
 - Other Budget Information Form (ED 851A-5)
7. If you include more than one activity, repeat item 6 above for each activity.

8. Project Management and Evaluation Plan Narrative including:
 - Activity Budget Form (ED 851A-4)
 - Other Budget Information Form (ED 851A-5)
9. Summary Budget Form (ED 524);
10. Other Budget Information Form (ED 851A-5) for summary budget; and
11. Assurances and Certification Forms.

In addition, submit the following materials – if applicable:

- * Assurance of Eligibility as a Alaska Native Serving Institution (ED 851A-7)
 - * Assurance of Eligibility as a Native Hawaiian Serving Institution (ED 851A-8)
 - * Five year plan required for applications under the Tribally Controlled College and University Program, the Alaska Native Serving Institutions Program, and the Native Hawaiian-Serving Institutions Program
- General Education Provisions Act (GEPA) Requirement

Cooperative Arrangement Development Grant under the Strengthening Institutions Program, the American Indian Tribally Controlled Colleges and Universities Program, the Alaska Native-Serving Program and the Native Hawaiian-Serving Institutions Program

Include materials listed above and, immediately after the Project Abstract (item 2,) insert the following:

- 2.A. Cooperative Arrangement Form (ED 851A-1);
- 2.B. Letters of Commitment; and
- 2.C. Justification for Funding Under A Cooperative Arrangement.

How and when should I submit the application?

If you decide to apply by sending hard copies of your application to the Department, you are required to submit a signed original application and two copies, **your voluntary submission of a signed original and three copies would help to expedite the review.** Follow the guidance provided in Appendix XX, "Application Transmittal Instructions".

If you decide to submit your application electronically follow the instructions on electronic submission procedures "Parity Guidelines Between Paper and Electronic Applications" located in Appendix XXI.

Whatever your decision, the deadline for submission of applications is **March 5, 2003.**

Remember, only the Application Control Center may accept applications for Department of Education grants. Do not send your application to any other government official or any other office. The Application Control Center will confirm that they received your application by sending you the project number assigned to your application. *E.g., "PO31A020555."* *Another consideration*, in light of the

recent events surrounding the mails it might serve your institution to consider other mailing options to ensure prompt delivery of your applications.

APPLICATION INSTRUCTIONS

This section provides you with information critical to your successfully completing the grant application. You will find the questions the three readers will use in judging the quality of your proposed planning grant project and the maximum number of points readers may give for each section.

If you are applying for a PLANNING GRANT

What are some general guidelines for this application?

You may only apply for a planning grant as an individual institution -- not as part of a cooperative arrangement of multiple institutions. Also:

- In your application, describe the planning process your institution will use to prepare a Comprehensive Development Plan (CDP) and the remaining parts of a development grant application/project.
- Be sure to describe the specific planning process as concisely and accurately as possible.

Review the regulatory selection criteria, 34 CFR 607.21, located in Appendix III, to ensure your application contains the information readers will need to judge the quality of the proposed planning project.

What sections should my planning grant application contain?

Your planning grant application should contain the following sections:

- 1. Application for Federal Education Assistance Form (ED 424)**
- 2. Table of Contents**
- 3. Institutional Narrative**

Content: Introduce your institution to the reader by describing the features you consider are most prominent. Include the institution's mission, level (2-year/4-year), control (private/public), service area, current program offerings, student characteristics, enrollment figures and trends, and any other important information.

- 4. Planning Process Narrative**

Reader's Question: To what extent does the institution clearly and comprehensively describe the planning process it will use to develop a comprehensive development plan and a 5 year development grant application and to what extent does it base the planning process on sound planning practice?

Maximum Points: 15 points

Reader's Question: To what extent will the applicant systematically and consistently involve the president or chief executive officer, administrators and other institutional personnel, students, and governing board members in the planning process?

Maximum Points: 15 points

Reader's Question: To what extent will the applicant use its own resources to help implement the project?

Maximum Points: 10 points

Reader's Question: To what extent is the planning process likely to achieve its intended results?

Maximum Points: 20 points

Content:

- Comprehensively describe the planning process -- a series of actions or steps - that you will use to develop the CDP and the rest of the development grant application. Using the Implementation Strategy and Timetable Form (ED 851A-3), chart the major tasks involved in this planning process.
- Explain your rationale for using this process by showing that it is based on sound state-of-the-art planning practice and is likely to achieve its intended results.
- Describe how your institution will involve, systematically and consistently, the president or chief executive officer, administrators, faculty, staff, students, and governing board members in pertinent phases of the planning process; and
- Describe your institution's resources, including personnel, facilities, monies, or the like, that you will use to carry out the planning process successfully.

5. Key personnel

Reader's Question: To what extent are the past experience and training of key personnel such as the project coordinator and persons who have key roles in the planning process suitable to the tasks they will perform?

Maximum Points: 10 points

Reader's Question: To what extent are the time commitments of key personnel adequate?

Maximum Points: 10 points

Content: Identify the key personnel who will perform the project tasks, specifically addressing two factors:

- (1) the qualifications, including experience and training, of key project personnel who will perform the proposed tasks; and
- (2) the adequacy of time each key person will commit to performing these tasks.

Describe each key position that the grant will support, including resumes of any proposed key project personnel currently at your institution. Also describe the qualifications you require for the position and the amount of time the person will allot to the project.

If you want to use a consultant, include the position description and explain why a consultant is more advantageous than using the institution's personnel.

6. Project Management Plan

Reader's Question: To what extent are the procedures for managing the planning grant project likely to ensure effective and efficient project implementation?

Maximum Points: 10 points

Reader's Question: To what extent does the project coordinator have sufficient authority, including access to the president or chief executive officer, to conduct the project effectively?

Maximum Points: 5 points

Content: Describe the procedures you will use to:

- manage, facilitate and monitor the planning process,
- formulate the CDP, and
- prepare the rest of the development grant application.

Include provisions for gathering and reporting project information to appropriate decision-makers at your institution. Also, provide evidence that the project coordinator will have sufficient administrative authority, including access to the president or chief executive officer, to conduct the project effectively.

7. Summary Budget Form

Reader's Question: To what extent are the proposed project costs necessary and reasonable?

Maximum Points: 5 points

Content: Your budget should correspond to your institution's needs for goods and services, as described in the institutional narrative, and should reflect costs that are reasonable in today's market place.

Provide your overall one-year budget on the Summary Budget Form (ED 524).

8. Other Budget Information Form

Content: Describe details not contained in your Summary Budget form in the Other Budget Information Form (ED 851A-5).

9. Assurances and Certification forms

At the time of submission (in addition to the forms listed above) you will need to include the following institutional certification forms (if applicable):

- ✓ Certification for Alaska Native-Serving Institutions (ED 851A-6)
- ✓ Certification for Native Hawaiian-Serving Institutions (ED 851A-7)
- ✓ General Education Provisions Act (GEPA) Requirement

Read the instructions on each form carefully and be sure to provide all the requested information. Feel free to duplicate copies of any forms in this booklet or construct the form yourself on your computer. If you do not provide sufficient information, we can not consider your application.

The following assurances and certification forms will be mailed to successful applicants for signature at the time of grant award notification.

- ✓ Endowment Fund Assurance Form
- ✓ Certification Regarding Lobbying; Debarment, Suspension and Other Responsibility Matters; and Drug-Free Workplace Requirements
- ✓ Disclosure of Lobbying Activities
- ✓ Assurances –Non-Construction Programs

10. Page Limits

The planning grant application may not exceed 30 pages. The cover page (ED Form 424), the Dual-Submission Certificate, and the institutional assurance forms Alaska Native-Serving Institutions Certification (ED Form 851A-7) and the Native Hawaiian-Serving Institutions Certification (ED Form 851A-8) are not included in 30 page limit.

Page limitations have been introduced as part of the continuing effort to streamline the grant application process. Keep in mind, page limits will be strictly enforced and **all applications that exceed the page limit will be returned.**

If you are applying for a **DEVELOPMENT GRANT**

What are some general guidelines for this application?

Content: This application should consist of two parts:

- Part I includes an Institutional Narrative and a Comprehensive Development Plan (CDP).
- Part II includes a Description of the Activity(ies) (the solution to or attack of a problem you identified in the CDP) that you will conduct as part of the project and a Plan for Project Management and Evaluation.

What specifically should my application contain?

Content: Your application should contain the following sections:

Part I: Overview of the Institution/Institutional Narrative and Comprehensive Development Plan

Overview of the Institution/Institutional Narrative

Content: In this section, familiarize the reader with your institution and provide a frame of reference for the CDP and the activity(ies) you are presenting in the application. Briefly describe your institution's distinguishing features, including:

- The Mission Statement: Describe your institution's level (2-year/4-year); control (private/public); affiliation; primary service population; and programs of study (e.g., liberal arts, technical programs).
- Student Body Characteristics: Include the number of students, either full-time equivalent or headcount - and the racial, ethnic, age, and gender breakdown.
- Faculty Characteristics: Include the number of full-time and adjunct faculty and faculty to student ratio.

Comprehensive Development Plan Narrative (CDP)

Before completing this section, review the specific program regulations that describe the CDP, its content, and evaluation in Appendix III, 34 CFR 607.8 and 607.22.

Use headings and provide information as follows:

A. Analysis of Institutional Strengths, Weaknesses and Significant Problems and Description of Analysis Process

Reader's Questions: To what extent does the institution clearly and comprehensively analyze the strengths, weaknesses, and significant problems of its academic programs, institutional management, and fiscal stability? To what extent does the information about the strengths, weaknesses and significant problems result from a process that involved major constituencies of the institution?

Maximum Points: 12 points

Content: Describe and analyze your institution's strengths, weaknesses and significant problems in the following three areas:

1. Academic Programs,
2. Institutional management, and
3. Fiscal stability

You will use the grant funds to attack some of these weaknesses and problems. Here are some guidelines for stating the problems:

- **State what is “too high” or what is “too low”.** For example, the percentage of freshmen students who fail four gateway courses is too high. When you state the problem this way, the forthcoming statement of objectives becomes obvious. *E.g.*, “To decrease, from 42% to 30%, the percentage of freshmen students who fail four gateway courses.”
- **Avoid problem statements that declare the problem as “the lack of ” or “the need for” the very solution you are proposing for funding.** *E.g.*, “The problem with our academic programs is a lack of or need for student services outside the classroom. Thus, we propose an activity to establish those student services.” This type of statement usually contains circular reasoning. Because goods or services do not presently exist at your institution does not necessarily justify why you should have them. In this example, the problem may be that “Too many students fail several key, gateway courses.” The solution, chosen from among several alternatives, may be “...to develop certain types of student services outside the classrooms.”
- **Provide data, reports, evaluations or studies that demonstrate that you have objectively and thoroughly analyzed your institution’s main problems.**
- **Include enough information to answer key questions.** These include:

How critical is the problem? What is the consequence of not taking immediate action to resolve it?

What is the probable cause of the weakness or problem?

Have you done enough analysis concerning the nature and extent of the weakness or problem to suggest the probable solution?

- **Describe the process you used to formulate the above information.**

Also provide evidence of the extent and nature of the faculty, staff, students, community, industry, and other major constituents' involvement in this process. You may rely on previously written information, such as a self-study for accreditation, as long as your process for developing the information involved the major constituencies' representatives and reflects your institution's current situation.

B. Key, Overall Goals for the Institution

Reader's Question: To what extent are the goals for the institution's academic programs, institutional management, and fiscal stability realistic and based on comprehensive analysis?

Maximum Points: 5 points

Content: Based on a comprehensive analysis of your institution's strengths, weaknesses and significant problems, delineate a few, key, overall goals regarding your academic programs, institutional management and fiscal stability. Indicate by an asterisk (*) which goals you will address through activities proposed in the application.

C. Measurable Objectives for the Institution

Reader's Questions: To what extent are the objectives in the plan measurable and related to the institution's goals? And, to what extent will the objectives, if the institution achieves them, contribute to the growth and self-sufficiency of the institution?

Maximum Points: 5 points

Content: Provide measurable objectives for how you will reach each of the goals as you discussed in B. Achieving the objectives outlined should contribute to the growth and self-sufficiency of the institution. Include a time frame for achieving each objective and the time frame should not exceed the five-year project period.

D. Institutionalizing Practices and Improvements

Reader's Questions: To what extent does the plan clearly and comprehensively describe the methods and resources the institution will use to institutionalize practices and improvements developed under the project, including in particular, how operational costs for personnel, maintenance, and upgrades of equipment will be paid with institutional resources?

Maximum Points: 8 points

Content: In this section, describe the following:

1. The methods your institution will use to integrate practices and improvements developed into its operations and, if appropriate, continue them after the grant ends. For example, provide specifics on how your institution will obtain approval from appropriate internal and/or external governance authorities to conduct new or revised curricula and use new intervention strategies. What will the time period be for these actions?
2. The resources you will need to institutionalize newly developed practices and improvements and, most importantly, how you will fund them. In particular, discuss how your institution will fund operational costs such as personnel, maintenance, and upgraded equipment. For example, one way to ensure that positions continue after the grant ends is for your institution to pay a percentage of the salary during the grant and increase that percentage during years two, three, four, and five.

PART II -- Development Grant Specifics

A. Description of Prior Title III Support

Content: If applicable, briefly describe all activities your institution carried out under a previous Title III Part A program grant that ended on or after September 30, 1998. If you did not complete any of them, explain why. Please indicate if your institution did not receive a Title III Part A Program grant during this time period.

B. Ranking Activities

Content: If you want funding for more than one activity - excluding the management and evaluation section of the project - prioritize each one. Also, briefly identify the activities that would be a sound investment of Federal funds if either funded separately or with one or more of the proposed activities.

C. Narrative for the Activity

Content: If you need funds for more than one activity, you may propose different starting and ending dates and vary the duration of each. For example, you may need only three years to develop a new curriculum but five years to develop a new management information system. Any proposed activity should address a critical problem that the CDP describes as hindering institutional growth and self-sufficiency. If you propose to use up to 20% for endowment investing, do not write an activity narrative regarding this use as we do not consider it an activity in the usual sense.

D. Activity Titles

Content: Title each activity so that the reader readily knows your focus. Allowable activities include, but are not limited to, the following:

- Faculty Development;
- Funds Management;
- Administrative Management;
- Development of Academic Programs;
- Improvement of Academic Programs;
- Acquisition of equipment for use in strengthening funds management;
- Acquisition of equipment for uses in strengthening academic Programs;
- Student Services; and
- Joint use of Facilities (e.g., libraries, and laboratories).

The HEA lists more specifically the allowable activities for the Strengthening Institutions Program and the American Indian Tribally Controlled Colleges, Universities Program, the Native Alaskan-Serving Institutions Program, and the Native Hawaiian-Serving Institutions Program. See HEA, Sections 313, 316, and 317 respectively located in Appendix II.

E. Objectives and Performance Indicators Form

Reader's Question: To what extent are the objectives for each activity realistic and defined in terms of measurable results?

Maximum Points: 5 points

Content: Using the Activity Objectives and Performance Indicators Form (ED 851A-2), state your annual objectives for each activity, which, when combined with their performance indicator(s), are measurable and realistic (not too high, not too low). Connect each objective to the problem or weakness it should address, as you described in the CDP. In addition:

- Do *not*: identify process objectives such as: "To establish a college-wide committee", whose measurement is: "We formed a committee." Identify processes or tasks under the Implementation Strategy, as discussed next.
- Do: use words such as "to increase" or "to decrease" since you are more likely to be describing a genuine, outcome objective.
- Do *not*: Begin your objective with words such as "to provide," "to develop," or "to establish." This heightens the likelihood you may be describing a process or task rather than an outcome objective.
- Do: Provide a realistic number of objectives and performance indicators for each activity and for each year you are requesting funds for an activity.

Also, you may reproduce or create, by computer, a duplicate of the Activity Objectives and Performance Indicators Form (ED 851A-2), as necessary.

F. Narrative Showing the Relationship of Activity Objectives to the CDP

Reader's Question: To what extent are the objectives for each activity related to the problems to be solved and to the goals of the comprehensive development plan?

Maximum Points: 5 points

Content: Describe how meeting the objectives of each activity will: 1. attack and, perhaps, even solve a problem identified in the CDP and 2. affect your institution's ability to address its goals for its academic programs, institutional management, or fiscal stability.

G. Implementation Strategy and Timetable in Chart Form

Reader's Question: To what extent is the implementation strategy for each activity comprehensive?

Maximum Points: 10 points

Reader's Question: To what extent is the timetable for each activity realistic and likely to be attained?

Maximum Points: 5 points

Content: Using the Implementation Strategy and Timetable Form (ED 851A-3), which you may reproduce or create on your computer as necessary, do the following:

- Chart an implementation strategy to meet your objectives for each year you are requesting funds and for each activity.
- Use time frames that are realistic for completing a task. Chart each of the five years using the budget period of October 1 to September 30.
- Describe in a comprehensive, sequential and clear manner who will do what, and how they will do it, to meet the objectives of each activity.
- Identify by title on the form the primary participants who will carry out the tasks to meet the objectives. Describe how the personnel will perform the tasks and the results you expect from them.

H. Narrative of Implementation Strategy Rationale

Reader's Question: To what extent is the rationale for the implementation strategy for each activity clearly described and supported by the results of relevant studies or projects?

Maximum Points: 10 points

Content: Explain why you chose a specific method for implementing an activity. Include how you determined that this method would be most effective, indicating relevant studies or projects that you reviewed and experts that you consulted. If you considered alternative methods, state why you rejected them.

I. Narrative Regarding Key Personnel

Reader's Question: To what extent are the past experience and training of key professional personnel directly related to the stated activity objectives?

Maximum Points: 7 points

To what extent is the time commitment of key personnel realistic?

Maximum Points: 3 points

Content: Key personnel include people funded under the grant who have substantive responsibility for developing and achieving the project's objectives. They may also include people whose position is not funded under the grant but with your institution's funds. Key personnel do not include clerical or secretarial positions.

In addition, provide a position description for any key position within an activity, including the required qualifications - education, experience, training - and the specific duties of the position. Also:

- make sure the duties are directly related to the activity's purposes and objectives;
- indicate the percentage of time each key person will commit to the project and why you think the time commitment is realistic relative to the duties they will perform;
- note the percentage of time each key person will commit to the activity on the Activity Budget Form (ED 851A-4).

Provide a resume for any specific individuals whom you have already designated for key positions, particularly those who will be supported by grant funds. The resume should reflect the person's education, training, and experience - as related to the objectives of the activity.

J. Activity Budget

Reader's Question: To what extent are the proposed costs necessary and reasonable in relation to the project's objectives and scope?

Maximum Points: 5 points total for all Budget questions

Content: Review the program regulations, 34 CFR 607.10 and 607.30, located in Appendix III, for guidance on which activities and costs are allowed. For example, you may not use your grant funds to:

- recruit students,
- carry out activities that are operational rather than developmental,
- carry out student activities such as entertainment, cultural or social enrichment programs, student publications, social clubs or associations,
- pay for organized fund raising,
- cover indirect costs.

Demonstrate that all costs are reasonable in today's market and necessary to accomplish your activity objectives. In particular, justify any cost exceeding \$25,000 -- excluding salaries and fringe benefits.

Using the Activity Budget Form (ED 851A-4) and the Other Budget Information Form (ED 851A-5), provide detailed, itemized budgets for each activity and for project management/evaluation and for each year you want grant funds. Complete a separate ED 851A-4 and ED 851A-5 for each activity and for project management/evaluation. You must provide details so we can determine if the costs are necessary and reasonable.

K. Project Management Plan Narrative

Reader's Questions: To what extent are the procedures for managing the project likely to ensure that the institution will efficiently and effectively implement the project?

Maximum Points: 5 points

Reader's Questions: To what extent do the project coordinator and activity director(s) have sufficient authority to conduct the project effectively, including access to the president or chief executive officer?

Maximum Points: 5 points

Content: The project management plan is an important part of the project. For this section, do not complete an Activity Objectives and Performance Indicators Form (ED 851A-2), or an Implementation Strategy and Timetable Form (ED 851A-3).

The following information applies to the Title III coordinator position:

- Provide a position description, including the coordinator's qualifications -- education, experience, training -- and the specific duties of the position. Directly relate the duties to the stated purposes and objectives of the project.
- Indicate in the position description and on the Activity Budget Form (ED 851A-4) how much time the Title III Coordinator will commit to the project. Make the time commitment realistic, not too high nor too low, relative to the tasks the individual will perform.

Note: Your Title III Coordinator's time commitment to a project may vary considerably from that in another project or another institution's project. One project focused on developing a management information system, for example, may have a coordinator who is the director of technology in the ordinary hierarchy of the college. He or she may allot 10% time to coordinate the project which the college will pay for. On the other hand, a new coordinator of a faculty development project may be an instructional developer with a 50% time or maybe 100% time commitment paid for with Title III funds. Carefully think through the management structure and time commitment that will work best at your institution and specify the reasons for your choice.

- Include the resume of an individual whom you may have chosen for the Title III Coordinator position, including the person's education, training, and experience as related to the objectives of the project.
- Describe the procedures the project coordinator will use to manage and monitor the project's progress such as how your institution will provide information to key administrators so they can integrate project activities with related, on-going institutional activities.
- Describe the project coordinator's administrative authority over the activity director(s) who is normally responsible for accomplishing a specific activity's objectives. Also, describe the administrative authority of the activity director(s) over subordinates.
- Chart the lines of authority of the project coordinator to key institutional decision makers, including the president.
- Do not describe the fiscal and accounting procedures in the narrative, as you will, instead, certify on the Assurances Form that your institution will follow adequate fiscal and accounting procedures.

L. Evaluation Plan Narrative

Reader's Questions: To what extent are the data elements and data collection procedures clearly described and appropriate to measure the attainment of activity objectives and to measure the success of the project in achieving the goals of the comprehensive development plan?

Maximum Points: 5 points

Reader's Question: To what extent are the data analysis procedures clearly described and to what extent are they likely to produce formative and summative results on attaining activity objectives and measuring the success of the project on achieving the goals of the comprehensive development plan?

Maximum Points: 5 points

Content: Detail the project's evaluation plan, including the who, what, when and how. The evaluation plan should:

- produce a valid assessment of your implementation strategies;
- result in annual, quantifiable evidence of the extent to which you attained your objectives for each activity and your goals in the CDP;
- include the data elements and collection procedures and the baseline indicators of progress that you will use.
- describe procedures for analyzing and using both formative and summative data.

While the Department does not require an external evaluation, you may find it useful to hire an outside evaluation expert or activity content specialist to periodically evaluate the project as a whole or a particular activity(ies). If you do propose to hire an external evaluator, state the reasons why.

M. Budget for Project Management/Evaluation

Reader's Question: To what extent are the proposed costs necessary and reasonable in relation to the project's objectives and scope?

Maximum Points: 5 points total for all Budget questions

Content: Using the Activity Budget Form (ED 851A-4) and the Other Budget Information Form (ED 851A-5), provide one detailed budget for management/evaluation costs for each year of the grant. These details are critical for us to determine if the costs you requested are necessary and reasonable.

N. Summary Budget Form

Reader's Question: To what extent are the proposed costs necessary and reasonable in relation to the project's objectives and scope?

Maximum Points: 5 points total for all Budget questions

Content: First, carefully read the instructions contained in this booklet. Then, using the Summary Budget Form (ED 524), prepare a summary budget for the entire project that totals all the costs by category for each year of the grant. Complete an Other Budget Information Form itemizing items common to the entire project summary budget.

Note: Check all totals within an activity budget and between the activity and summary budgets. If any inaccuracies occur, we may choose the lesser of two budget figures and you may lose money that could have been yours.

O. Assurances and Certifications

Content: At the time of submission (in addition to the forms listed above) you will need to include the following institutional certification forms (if applicable):

- ✓ Certification for Alaska Native-Serving Institutions (ED 851A-6)
- ✓ Certification for Native Hawaiian-Serving Institutions (ED 851A-7)
- ✓ General Education Provisions Act (GEPA)

The following assurances and certification forms will be mailed to successful applicants for signature at the time of grant award notification.

- ✓ Endowment Fund Assurance Form
- ✓ Certification Regarding Lobbying; Debarment, Suspension and Other Responsibility Matters; and Drug-Free Workplace Requirements
- ✓ Disclosure of Lobbying Activities
- ✓ Assurances –Non-Construction Programs

P. Endowment Fund Assurance

Content: If you want to use up to 20% of grant funds to establish or increase your institution's endowment fund through endowment investing, you must complete ED Form 851A-6. Do not write an activity narrative regarding endowment investing.

Q. American Indian Tribally Controlled Colleges and Universities Program applicants

Content: For a grant under the American Indian Tribally Controlled Colleges and Universities Program, your institution must meet the legal definition of a "tribal college or university", established in the statute.

The statute also requires you to submit a five-year plan for

- improving the assistance provided by the institution to Indian students;
- increasing the rates at which Indian secondary school students enroll in higher education;
- and increasing overall post-secondary retention rates for Indian students.

To simplify and streamline the application process,

- You may integrate this five-year plan as part of your comprehensive development plan or you may describe it separately from your comprehensive development plan.
- You may quote pertinent excerpts from a recent accreditation document or self- study when you are citing strengths, weaknesses and problems in your comprehensive development plan defined above.
- You may submit your project application electronically.

R. Alaska Native-Serving Institutions applicants

Content: For a grant under the Alaska Native-Serving Institutions Program, your institution must, at the time of application, have a headcount enrollment of undergraduate students that is at least 20 percent Alaska Native students.

The statute also requires that you submit a five-year plan for improving the assistance provided by your institution to Alaska Native students.

To simplify and streamline the application process,

- You may integrate this five-year plan as part of your comprehensive development plan or you may describe it separately from your comprehensive development plan.
- You may quote pertinent excerpts from a recent accreditation document or self-study when you are citing strengths, weaknesses and problems in your comprehensive development plan defined above.
- You may submit your project application electronically.

S. Native Hawaiian-Serving Institutions applicants

Content: For a grant under the Native Hawaiian-Serving Institutions Program, your institution must, at the time of application, have a headcount enrollment of undergraduate students this is at least 10 percent Native Hawaiian students.

The statute also requires that you submit a five-year plan for improving the assistance provided by your institution to Native Hawaiian students.

To simplify and streamline the application process,

- You may integrate this five-year plan as part of your comprehensive development plan or you may describe it separately from your comprehensive development plan.
- You may quote pertinent excerpts from a recent accreditation document or self-study when you are citing strengths, weaknesses and problems in your comprehensive development plan defined above.
- You may submit your project application electronically.

T. Page limit information for a development grant

The development grant application may not exceed 100 pages. The cover page (ED Form 424), the Dual-Submission Certificate, and the institutional assurance forms Alaska Native-Serving Institutions Certification (ED Form 851A-7) and the

Native Hawaiian-Serving Institutions Certification (ED Form 851A-8) are not included in 100 page limit.

Page limitations have been introduced as part of the continuing effort to streamline the grant application process. Keep in mind, page limits will be strictly enforced and **all applications that exceed the page limit will be returned.**

U. Supplemental Instructions if you are participating in a cooperative arrangement

Content: In a cooperative arrangement, a Title III eligible institution and at least one other institution combine their resources and grant resources to better carry out allowable grant activities and avoid costly duplicated efforts. In addition to the development grant instructions located in this booklet, you must follow these instructions:

1. Coordinating Institutions

Content: All institutions are responsible for carrying out the activities or tasks they agree to perform and for using the funds in accordance with Federal requirements. In addition, a Title III eligible institution must:

- assume the role of the coordinating institution responsible for all grant funds and for ensuring that the project is carried out in accordance with Federal regulations, and
- complete the Application for Federal Education Assistance Form (ED 424).

Place the following three items -- Form ED 851A-1, the letters of commitment, and the narrative justification -- immediately after the project abstract.

2. Institutions in a Cooperative Arrangement Form (ED 851A-1)

Content: List all institutions participating in the cooperative arrangement - including the coordinating institution - on the Participating Institutions in a Cooperative Arrangement Form (ED 851A-1).

3. Letters of Commitment

Content: If your institution is participating in a cooperative arrangement, your president must provide a signed and dated letter of commitment that includes statements that:

- a. The submitted application accurately reflects the terms of the cooperative arrangement;
- b. Your institution will carry out its part in implementing the project, if the request for Federal Funds is granted;

- c. Your institution will comply with all assurances and Federal regulations applicable to a grantee; and,
- d. The budget correctly represents your institution's share of the overall project funds.

4. Justification for Funding under a Cooperative Arrangement

Content: In a narrative, describe the rationale for each institution's decision to request funds to carry out activities as part of a cooperative arrangement, rather than individually. We give priority to institutions that are:

Geographically close. The coordinating institution must prove that the faculty and staff of both institutions have access to each other because of geographic location or because of technology.

Economically sound. Both institutions must prove that the cooperative arrangement is economically sound. Provide evidence that both institutions will carry out the proposed activity more effectively together than if they carried it out individually.

5. Comprehensive Development Plan (CDP) Under a Cooperative Agreement

Content: Each Title III eligible participating institution must provide its own part to the overall CDP. If your institution is not Title III eligible, you do not need to submit your part to the overall CDP.

The coordinating institution provides the *single CDP*.

6. Activity Narrative Under a Cooperative Arrangement

Content: In the activity narrative, relate the proposed activity to the problems each institution plans to solve and the goals of the CDP. Respond to the appropriate selection criteria regarding activities for development grants described in the program regulations, 34 CFR 607.22, located in Appendix III.

The coordinating institution provides the single response to these selection criteria, incorporating, where appropriate, the roles of the participating institutions.

7. Budget Information Under a Cooperative Arrangement

Reader's Question: To what extent are the proposed costs necessary and reasonable in relation to the project's objectives and scope?

Maximum Points: 5 points total for all Budget questions

Content: In a cooperative arrangement application, the coordinating institution and each Title III eligible participating institution must submit the Activity Budget Form (ED 851A-4) - for each activity for which grant funds are sought - detailing how its portion of the funds will be expended.

The applicants will use the other Budget Information Form (ED 851A-5) to describe and itemize all costs for each year. The eligible participating institutions and the coordinating institution should each complete a separate ED 851A-5 for each activity - for each year of the activity - and for project management/evaluation.

The coordinating institution should prepare a total, summary budget that totals all the costs for all institutions-by category-for each of the years of the grant. The applicant will provide this information on the Summary Budget Form (ED 524).

The coordinating institution should also complete a separate Other Budget Information Form (ED 851A-5) for the summary budget.

8. Institutional Assurances and Certifications Under Cooperative Arrangement

Content: Content: At the time of submission (in addition to the forms listed above) you will need to include the following institutional certification forms (if applicable):

- ✓ Certification for Alaska Native-Serving Institutions (ED 851A-7)
- ✓ Certification for Native Hawaiian-Serving Institutions (ED 851A-8)
- ✓ General Education Provisions Act (GEPA)

The following assurances and certification forms will be mailed to successful applicants for signature at the time of grant award notification.

- ✓ Endowment Fund Assurance Form
- ✓ Certification Regarding Lobbying; Debarment, Suspension and Other Responsibility Matters; and Drug-Free Workplace Requirements
- ✓ Disclosure of Lobbying Activities
- ✓ Assurances –Non-Construction Programs

Page Limit Information for the Cooperative Arrangement

The cooperative arrangement grant application may not exceed 140 pages. The cover page (ED Form 424), the Dual-Submission Certificate, and the institutional assurance forms Alaska Native-Serving Institutions Certification (ED Form 851A-7) and Native Hawaiian-Serving Institutions Certification (ED Form 851A-8) are not included in 140-page limit.

Page limitations have been introduced as part of the continuing effort to streamline the grant application process. Keep in mind, page limits will be strictly enforced and **all applications that exceed the page limit will be returned.**